

## PRESIDIO OF MONTEREY'S PROCEDURE FOR INTERNAL AUDIT

<b>Procedure: The Presidio of Monterey’s</b> Procedure for internal audit			
<b>Document Owner:</b> EMS Management Representative, Plans, Analysis, and Integration Office (PAIO) – <b>The Presidio of Monterey (POM)</b>	<b>Review:</b> EQCC		
	<b>Date:</b> 14 Dec 05		
<b>Update Requirements:</b> The <b>Presidio of Monterey’s</b> EMS Management Representative shall maintain this procedure and review it annually. This document and its revisions shall remain current for no more than one year from the effective date. The EMS Management Representative must maintain a log of document history with this procedure.			
<b>Revision Information</b>			
<b>Status</b>	<b>Revision</b>	<b>Effective Date</b>	<b>Revision Summary</b>
Baseline Procedure	1.0		None

### A. PURPOSE

- 1) To establish and maintain a program for planning and conducting audits to determine if the EMS of the US Army Presidio of Monterey conforms to the requirements of ISO 14001 and ensure that the EMS is properly implemented and maintained.

### B. SCOPE

- 1) This procedure is written to address the criteria established by **Section 4.5.5 of ISO 14001:2004**.

### C. DEFINITIONS

- 1) Auditor – Person with the competence to conduct an audit.
- 2) Corrective Action – Action to eliminate the root cause of a detected nonconformity.
- 3) Internal Audit – Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the EMS audit criteria set by POM are fulfilled.
- 4) Nonconformity – Non-fulfillment of a requirement.

- 5) Preventive Action – Action to eliminate the cause of a potential nonconformity.

## **D. PROCEDURE**

- 1) A yearly schedule for EMS audits is prepared. The schedule takes into account the environmental importance of the operations(s) concerned and the results of previous audits. This schedule is used as a guide only and may be adjusted by the EMSMR as necessary.
- 2) A pool of candidates to conduct EMS audits is identified and these candidates are trained in EMS auditing. To be considered a trained auditor, the appointee must have basic auditing skills and have knowledge of ISO 14001 and POM's EMS.
- 3) The auditor(s) are selected from the identified and trained pool of candidates.
- 4) If no qualified pool of candidates is available at the local installation, an external party will be solicited to perform the audit process.
- 5) Auditor(s) performs all necessary background research to ensure a complete and effective audit.
- 6) A checklist or other working documents appropriate to the audit is developed. An Example EMS Audit Form is included as Attachment A and can be used as guidance for the preparation of working documents.
- 7) Auditor(s) conducts the audit in a professional manner and gathers objective evidence to verify conformance with ISO 14001 and ensure POM's EMS is being implemented as planned.
- 8) The auditor(s) provides details of the audit in a written report provided to the EMSMR.
- 11) The audit report is reviewed for content, etc. If the report is approved, it is distributed to the appropriate personnel including the EQCC. If the EMSMR does not approve of the report, he or she works with the auditor(s) to resolve any issues.
- 12) If deficiencies or nonconformances are found, a Corrective Action Request and a Preventive Action Request, if appropriate, per POM-EMS-PR-009 (Nonconformity, Corrective and Preventive Action Procedure) is/are issued.
- 13) Timely and adequate corrective and preventive actions are taken to correct and prevent deficiencies or nonconformances found in the audit as directed on the CAR and PAR, respectively, in accordance with POM-EMS-PR-009 (Nonconformity, Corrective Action and Preventive Action).

**14)** Results of audits are provided to the EQCC for review per POM-EMS-PR-012 (Management Review Procedure).

**15)** The EQCC reviews audit results or a summary of results during the management review meetings described in POM-EMS-PR-012 (Management Review Procedure).

## **E. RESPONSIBILITIES**

### **1) EMS Management Representative (EMSMR)**

- a.** Establishes an annual EMS audit schedule.
- b.** Provides input to the Environmental Quality Control Committee (EQCC) on appropriate EMS auditor candidates.
- c.** Selects qualified and impartial audit personnel and provides appropriate instructions. Ensures these personnel are trained regarding POM's basic environmental regulatory framework, have basic auditing skills, and have knowledge of POM's EMS and ISO 14001.
- d.** If no qualified pool of candidates is available at the local installation, an external party will be solicited to perform the audit process.
- e.** Develops, or works with the auditor(s) to develop, a checklist or other working documents appropriate to the audit. Uses the Example EMS Audit Form (Attachment A) as a guidance for preparing working documents. This document should only be used as guidance because it does not contain all the requirements of ISO 14001.
- f.** Participates in EMS audits whenever appropriate.
- g.** Reviews audit reports for content, etc. If report is acceptable, distributes the report to appropriate personnel. If report is unacceptable, works with the auditor(s) to resolve any issues.
- h.** Determines the need for corrective and/or preventive actions based on audit findings. If necessary, issues Corrective Action Requests (CARs) and/or Preventive Action Requests (PARs) per POM-EMS-PR-4.5.3 (Nonconformity, Corrective Action and Preventive Action).
- i.** Ensures that records documenting the audit process and results are kept in accordance with POM-EMS-PR-4.5.4 (Control of Records Procedure).
- j.** Presents audit findings to the EQCC for review per POM-EMS-PR-4.6 (Management Review Procedure).

## **2) Environmental Quality Control Committee (EQCC)**

- a.** Identifies, with input from the EMSMR and Directorate/Tenant Command Heads, a pool of candidates to conduct EMS audits and ensures these candidates are trained in EMS auditing.
- b.** Reviews audit results or a summary of results during management review meetings in accordance with POM-EMS-PR-4.6 (Management Review Procedure).

## **3) Directorate/Tenant Command Heads**

- a.** Provide input to the Environmental Quality Control Committee (EQCC) on appropriate EMS auditor candidates.
- b.** Works with the auditor(s) to determine dates and times for his or her Directorate/Tenant Command to be audited and support the audit as much as possible.
- c.** Takes timely and adequate corrective and preventive actions to correct and prevent deficiencies or nonconformances found in the audit as directed on CARs and PARs, respectively, in accordance with POM-EMS-PR-009 (Nonconformity, Corrective Action and Preventive Action).

## **4) EMS Auditor(s)**

- a.** Performs all necessary background research to ensure a complete and effective audit.
- b.** Works with the EMSMR to develop a checklist or other working documents appropriate to the audit. Uses the Example EMS Audit Form (Attachment A) as guidance for preparing working documents.
- c.** Conducts the audit in a professional manner and gathers objective evidence to verify conformance with ISO 14001 and ensure POM's EMS is being implemented as planned.
- d.** Provides details of the audit in a written report provided to the EMSMR.

# **F. ATTACHMENTS**

## **1) Example EMS Audit Form (A)**

**Attachment A. EMS Audit Form**

Question	Y/N	Comments
<i>Environmental Policy:</i>  1. Are employees aware of the policy?   2. Can they relate the policy to their job?   3. Do they have access to a copy of POM & OMC's environmental policy?   4. Where is the copy of POM & OMC's EMS?		
<i>Environmental Aspects and Impacts:</i>  1. Do employees know what relevant significant environmental aspects and impacts are?   2. Are employees knowledgeable of environmental aspects/impacts of their jobs?   3. Do employees know what action they must take with regard to significant environmental aspects/impacts of their jobs?		

<p><i>Objectives and Targets:</i></p> <ol style="list-style-type: none"> <li>1. Are employees aware of POM &amp; OMC's environmental objectives?</li> <li>2. Are employees aware of their responsibilities in achieving targets?</li> <li>3. Are employees aware of their departmental environmental targets?</li> </ol>		
<p><i>Operational Control:</i></p> <ol style="list-style-type: none"> <li>1. What environmentally related standard operating procedures (SOPs) apply to the department?</li> <li>2. Are employees following the procedures that apply to their department?</li> <li>3. Who is responsible for implementing each procedure?</li> </ol>		
<p><i>Document Control:</i></p> <ol style="list-style-type: none"> <li>1. Are there any controlled documents in use in the department?</li> <li>2. If yes, are the latest revisions in use?</li> </ol>		

<i>Emergency Preparedness and Response:</i>  1. Are employees knowledgeable of POM & OMC's emergency plan?  2. Do they know how to report an emergency?  3. Do they know when to evacuate, where to report and to whom?		
<i>Monitoring and Measurement:</i>  1. Are employees aware of measurements or monitoring required in their department?  2. Is calibration of any environmental equipment required?  3. Are calibrations up to date?  4. Are employees following all applicable regulatory requirements?		

AUDIT CONCLUSIONS